

FORM PTO-1390 (Modified) U.S. PATENT AND TRADEMARK OFFICE; U.S. DEPARTMENT OF COMMERCE
(REV. 07-2004)

ATTORNEY'S DOCKET NUMBER

TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A SUBMISSION UNDER 35 U.S.C. 371

2002DE305

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

NOT ASSIGNED 10/511402

INTERNATIONAL APPLICATION NO.
PCT/EP03/03666INTERNATIONAL FILING DATE
April 9, 2003PRIORITY DATE CLAIMED
April 17, 2002

TITLE OF INVENTION

NANOIMPRINT RESIST

APPLICANT(S) FOR DO/EO/US

Walter SPIESS, Fumio KITA, Michael MEIER, Andreas GIER,
Martin MENNIG, Peter W. OLIVEIRA, Helmut SCHMIDT

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a submission under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a submission under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below.
4. ☒ The US has been elected (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c) (2))
 - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☒ has been communicated by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
 - a. ☒ is attached hereto.
 - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☒ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
8. ☒ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).
11. ☐ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☒ A copy of the International Search Report (PCT/ISA/210).

Items 13 to 23 below concern document(s) or information included:

13. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☒ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A substitute specification.
18. ☐ A power of attorney and/or change of address letter.
19. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.
20. ☐ A second copy of the published International Application under 35 U.S.C. 154(d)(4).
21. ☐ A second copy of the English language translation of the International Application under 35 U.S.C. 154(d)(4).
22. ☒ Express Mail Label No. EL 972143618 US
23. ☒ Other items or information:

Form PCT/IPEA/416

Form PCT/IPEA/409

Form PCT/ISA/210

WO 03/087935 A2

U.S. APPLICATION NO (if known, see 37 CFR 1.53) NOT ASSIGNED		INTERNATIONAL APPLICATION NO. PCT/EP03/03666		ATTORNEY'S DOCKET NUMBER 2002DE305	
24. The following fees are submitted: BASIC NATIONAL FEE (37 CFR 1.492(a)(1)-(5)) : <input type="checkbox"/> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO \$1110.00 <input checked="" type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO \$950.00 <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO \$790.00 <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) \$750.00 <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) \$100.00 ENTER APPROPRIATE BASIC FEE AMOUNT =				CALCULATIONS PTO USE ONLY	
Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).				\$0.00	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	14 - 20 =	0	x \$18.00	\$0.00	
Independent claims	1 - 3 =	0	x \$88.00	\$0.00	
Multiple Dependent Claims (check if applicable) <input type="checkbox"/>				\$0.00	
TOTAL OF ABOVE CALCULATIONS =				\$950.00	
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.				\$0.00	
SUBTOTAL =				\$950.00	
Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$0.00	
TOTAL NATIONAL FEE =				\$950.00	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable) <input type="checkbox"/>				\$0.00	
TOTAL FEES ENCLOSED =				\$950.00	
				Amount to be:	\$
				refunded	\$
				charged	\$

- a. ☐ A check in the amount of _____ to cover the above fees is enclosed.
- b. ☒ Please charge my Deposit Account No. 03-2060 in the amount of \$950.00 to cover the above fees.
- c. ☒ The Director is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 03-2060
- d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.

SEND ALL CORRESPONDENCE TO:

ALAN P. KASS
 AZ ELECTRONIC MATERIALS USA CORP.
 70 MEISTER AVENUE
 SOMERVILLE, NJ 08876

CUSTOMER NO. 26,289

SIGNATURE

ALAN P. KASS

NAME

32,142

REGISTRATION NUMBER

October 13, 2004

DATE

10/511402

T05 Rec'd PCT/PTO 13 OCT 2004

CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)Applicant(s): **Walter SPIESS et al.**

Docket No.

2002DE305Application No.
NOT ASSIGNEDFiling Date
October 12, 2004Examiner
NOT ASSIGNEDCustomer No.
26,289Group Art Unit
NOT ASSIGNED

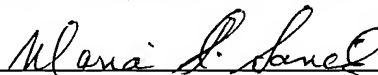
Invention:

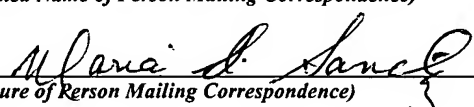
NANOIMPRINT RESIST

I hereby certify that the following correspondence:

Transmittal Letter - 2 Pages*(Identify type of correspondence)*

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on

October 13, 2004*(Date)*MARIA T. SANCHEZ*(Typed or Printed Name of Person Mailing Correspondence)**(Signature of Person Mailing Correspondence)*EL 972143618 US*("Express Mail" Mailing Label Number)***Note: Each paper must have its own certificate of mailing.**

CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)			Docket No. 2002DE305	
Applicant(s): Walter SPIESS et al.				
Application No. NOT ASSIGNED	Filing Date October 12, 2004	Examiner NOT ASSIGNED	Customer No. 26,289	Group Art Unit NOT ASSIGNED
Invention: NANOIMPRINT RESIST				
I hereby certify that the following correspondence: <div style="border: 1px solid black; padding: 10px; text-align: center;">English language translation of the amendments to the claims under PCT Article 19 (U.S.C. 371(c)(3)) - 3 Pages</div> <i>(Identify type of correspondence)</i> is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on <div style="text-align: center;"><u>October 13, 2004</u> <i>(Date)</i></div> <div style="text-align: center;"><u>MARIA T. SANCHEZ</u> <i>(Typed or Printed Name of Person Mailing Correspondence)</i>  <i>(Signature of Person Mailing Correspondence)</i></div> <div style="text-align: center;"><u>EL 972143618 US</u> <i>("Express Mail" Mailing Label Number)</i></div>				
Note: Each paper must have its own certificate of mailing.				

10/511402

CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)

Applicant(s): Walter SPIESS et al.

Docket No. 2002DE305

2002DE305

Application No. NOT ASSIGNED	Filing Date October 12, 2004	Examiner NOT ASSIGNED	Customer No. 26,289	Group Art Unit NOT ASSIGNED
---------------------------------	---------------------------------	--------------------------	------------------------	--------------------------------

Invention:

NANOIMPRINT RESIST

I hereby certify that the following correspondence:

WO 03/087935 A2 - 20 Pages

(Identify type of correspondence)

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on

October 13, 2004

(Date)

MARIA T. SANCHEZ

(Typed or Printed Name of Person Mailing Correspondence)



(Signature of Person Mailing Correspondence)

EL 972143618 US

("Express Mail" Mailing Label Number)

Note: Each paper must have its own certificate of mailing.

10/511402

05 Rec'd PCT/PTO 13 OCT 2004

CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)Applicant(s): **Walter SPIESS et al.**

Docket No.

2002DE305

Application No.
NOT ASSIGNEDFiling Date
October 12, 2004Examiner
NOT ASSIGNEDCustomer No.
26,289Group Art Unit
NOT ASSIGNED

Invention:

NANOIMPRINT RESIST

I hereby certify that the following correspondence:

Form PCT/IPEA/409 - 8 Pages*(Identify type of correspondence)*

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on

October 13, 2004*(Date)*MARIA T. SANCHEZ*(Typed or Printed Name of Person Mailing Correspondence)**(Signature of Person Mailing Correspondence)*EL 972143618 US*("Express Mail" Mailing Label Number)***Note: Each paper must have its own certificate of mailing.**

CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10) Applicant(s): Walter SPIESS et al.			Docket No. 2002DE305	
Application No. NOT ASSIGNED	Filing Date October 12, 2004	Examiner NOT ASSIGNED	Customer No. 26,289	Group Art Unit NOT ASSIGNED

Invention:

NANOIMPRINT RESIST

I hereby certify that the following correspondence:

Form PCT/IPEA/416 - 1 Page

(Identify type of correspondence)


is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on

October 13, 2004

(Date)

MARIA T. SANCHEZ

(Typed or Printed Name of Person Mailing Correspondence)



(Signature of Person Mailing Correspondence)

EL 972143618 US

("Express Mail" Mailing Label Number)

Note: Each paper must have its own certificate of mailing.

10/511402

2005 Rec'd PCT/PTO 13 OCT 2004

CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)

Applicant(s): Walter SPIESS et al.

Docket No.

2002DE305

Application No.
NOT ASSIGNEDFiling Date
October 12, 2004Examiner
NOT ASSIGNEDCustomer No.
26,289Group Art Unit
NOT ASSIGNED

Invention:

NANOIMPRINT RESIST

I hereby certify that the following correspondence:

International Search Report (Form PCT/ISA/210) - 1 Page

(Identify type of correspondence)

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on

October 13, 2004*(Date)*MARIA T. SANCHEZ*(Typed or Printed Name of Person Mailing Correspondence)**(Signature of Person Mailing Correspondence)*EL 972143618 US*("Express Mail" Mailing Label Number)***Note: Each paper must have its own certificate of mailing.**